



Atty Docket: 4652/1B

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THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Agarwal et al.

Serial No. : 10/026,359 Examiner:

Filed : Dec., 24, 2001 Group Art Unit: 2164

Title : Method And System For Computer-Implemented Trading Of Secondary Market Debt Securities

Commissioner for Patents  
Washington, D.C. 20231

IDS TRANSMITTAL LETTER

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Sir:

Applicants respectfully submit the enclosed information disclosure statement including (1) a citation list, and (2) a copy of each reference cited. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing each of the references on the enclosed citation list. Please return a copy of the initialed list to the applicants' undersigned Attorney.

This IDS is being filed prior to the mailing date of a first office action.

Although no fee is believed to be due, the Commissioner is hereby authorized to charge any deficiency in fees or fees that may be required, or to credit any overpayments, to the undersigned attorney's Deposit Account No. 02-4270.

Respectfully submitted,

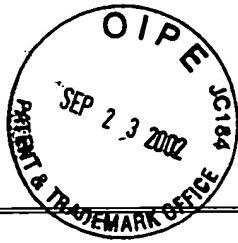
Dated: Sept. 17, 2002

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I hereby certify that this paper is being deposited this date with the U.S. Postal Service as First Class Mail addressed to:  
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Ralph F. Hoppin  
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Sept. 17, 2002  
Date



Sheet 1 of 1

<b>INFORMATION DISCLOSURE CITATION LIST</b>	<b>Atty. Docket No.:</b> 4652/1B	<b>Application Serial No.:</b> 10/026,359
	<b>Applicants:</b> Agarwal et al.	
	<b>Filing Date:</b> Dec. 24, 2001	<b>Group Art Unit:</b> 2164

#### U.S. PATENT DOCUMENTS

Exam. Init		Document Number	Date	Name	Class	Subclass
		6,343,278	Jan. 29, 2002	Jain et al.		
		6,161,099	Dec. 12, 2000	Harrington et al.		
		6,035,287	Mar. 7, 2000	Stallaert et al.		
		5,915,209	Jun. 22, 1999	Lawrence		
		4,903,201	Feb. 20, 1990	Wagner		

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#### FOREIGN PATENT DOCUMENTS

Exam. Init.		Document Number	Date	Country	Class	Translation

#### OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)


Examiner:	Date Considered:
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